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**Deposited On: February 2, 2004**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Application No. : 09/996,142 Confirmation No.: 3756**

**Applicant(s) : Daniel E. Resasco, Boonyarach Kitiyanan,  
Walter E. Alvarez and Leandro Balzano**

**Filed : 11/28/2001**

**TC/A.U. : 1754**

**Examiner : S. Hendrickson**

**Title : PROCESS AND APPARATUS FOR PRODUCING  
SINGLE-WALLED CARBON NANOTUBES**

**Docket No. : 5820.613**

**Customer No. : 30589**

**Mail Stop Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**SECOND SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This  
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. [X] Preliminary Statements
2. [X] Form PTO-1449(Modified)
3. [X] Copies of Listed Information Items Accompanying this Statement
4. [X] Identification of Person(s) Making this Information Disclosure Statement

## **Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## **Section 2. Form PTO-1449 (Modified)**

☒ [X] A completed Form 1449 (Modified) is attached hereto.

☐ [ ] No Form 1449 (Modified) is attached.

## **Section 3. Copies of Listed Information Items Accompanying this Statement**

☒ [X] Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☐ [ ] Exception(s) to above:


☐ [ ] Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4. Only copies of the following patents are enclosed:

**Section 4. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file

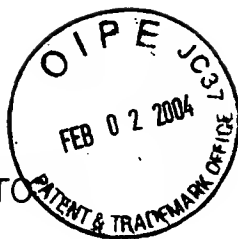
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Substitute for form 1449A/PTO

## SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known	
Application Number	09/996,142
Filing Date	11/28/2001
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754 (Conf. No. 3756)
Examiner Name	S. Hendrickson
Attorney Docket Number	5820.613

(use as many sheets as necessary)

### U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number	Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

### FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office 3	Number 4	Kind Code <sup>5</sup> (if known)			

**U.S. and Foreign:** <sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). <sup>4</sup> Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

### NON PATENT DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

US 20020165091 A1, Resasco et al., Publication Date 11/07/2002.

US 20020127169 A1, Smalley et al., Publication Date 09/12/2002.

US 20010031900 A1, Margrave et al., Publication Date 10/18/2001.

**Non Patent Documents:** <sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature:

Date Considered:

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. \*\*Place of Publication refers to name of publication in which the information was published.